

State of Tennessee
Statewide Records Retention
Alphabetical Order by Record Series Title

Personnel Files

RDA No.	Records Title and Description
S1505	<p>Attendance and Leave Records, Employee Leave Request and Attendance and Leave Report Approved: November 3, 1997</p> <p>Files consist of attendance and leave forms and request for leave. <i>Includes electronic media that communicates the above.</i></p>
Disposition	<p>The files are to be cut off at the end of each fiscal year then, maintain in agency three (3) years; then destroy after audit when required.</p>
S1523	<p>Certification of Eligible Files Approved: November 3, 1997</p> <p>Files consist of copies of Certification of Eligibles, letters to applicants, employment applications and any related correspondence. <i>Includes electronic media that communicates the above.</i></p>
Disposition	<p>Destroy after three (3) years and audit.</p>
S2489	<p>Confidential Employee Occupational Medical Record Approved: November 3, 1997</p> <p>Means a record concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel or technician, including:</p> <p>(A) Medical and employment questionnaires or histories (including job description and occupational exposures),</p> <p>(B) The results of medical examinations (pre-employment, pre-assignment, periodic, or episodic) and laboratory tests (including chest and other x-ray examinations taken for the purposes of establishing a base-line or detecting occupational illness, and all biological monitoring not defined as an "employee exposure record"),</p> <p>(C) Medical opinions, diagnoses, progress notes, and recommendations</p> <p>(D) First aid records</p>

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S2489	<p>Confidential Employee Occupational Medical Record (continued from previous page)</p> <p>(E) Descriptions of treatments and prescriptions</p> <p>(F) Employee medical complaints</p> <p>(ii) "Employee medical record" does not include medical information in the form of:</p> <p>(a) Physical specimens (e.g., blood or urine samples) which are routinely discarded as a part of normal medical practice;</p> <p>(b) Records concerning health insurance claims if maintained separately from the employer's accessible to the employer by employee name or other direct personal identifier (e. g., social security number, payroll number, etc.): or</p> <p>(c) Records created solely in preparation for litigation which are privileged from discovery under the applicable rules of procedure or evidence; or</p> <p>(d) Records concerning voluntary employee assistance programs (alcohol, drug abuse, or personal counseling programs) if maintained separately from the employer's medical program and its records.</p> <p>Health Professional means a physician, occupational health nurse, industrial hygienist, toxicologist or epidemiologist providing medical or other occupational health services to exposed employees.</p> <p>Record means any item, collection, or grouping of information in the form or process by which it is maintained; specifically, paper document, microfiche, microfilm and x-ray film.</p> <p><i>Includes electronic media that communicates the above.</i></p>
Disposition	Cut off file at end of employment; hold in agency thirty (30) years, then destroy.
Governing Law	29 CFR 1910.1020

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S553	<p>Daily Work Report Files Approved: November 3, 1997</p> <p>This record serves as a worksheet for the Attendance and Leave Record. It accumulates in offices responsible for personnel, administration, payroll or accounting and is created as a result of accounting for daily attendance, hours worked and leave taken. Included are forms giving name of employee time signed in and out, hours worked, signature of employee, etc.. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Destroy after three (3) years and audit. Close files at the end of each calendar year.
S628	<p>Employee Insurance Files Approved: November 3, 1997</p> <p>Records consist of signed copies of State Group Insurance Enrollment/Change Form indicating type coverage selected and signed application for Health Insurance. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Retain in active file until superseded by a new form, at which time original authorization will either be placed in agency Personnel Folder attached to the new authorization. Upon transfer, forward to gaining agency with other personnel records.
S470-3	<p>Employee Record Files Approved: November 3, 1997</p> <p>Printouts or cards that provide complete information on employee positions, strength authorizations and actions in process. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Forward to gaining organization upon transfer within state government. Place in Supervisor/Agency Employee Personnel Folder upon separation.

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RDA No.	Records Title and Description
S470-4	Job Description Files Supervisor's copies of official job descriptions. <i>Includes electronic media that communicates the above.</i>
Disposition	Destroy on abolishment of position, supersession of job description or when no longer needed for reference.
S2418	Medical Records Personnel File Approved: November 3, 1997 Confidential employee medical records consist of: (1) Physical - (any follow-up pertaining of physical) A. AA treatment statement. B. Drug related treatment. C. Injured in the line of duty and workers compensation claims. D. Any personnel documents that have attached details of medical procedures illness, injury, extent of injury, or prognosis (includes sick leave bank requests for leave and sick leave transfers). E. All Americans with Disabilities Act Accommodations. F. Family and medical leave information (information relating to the employee only) (2) Psychological - (any follow-up pertaining to Psychological) Background Checks (including internal investigations which did not result in disciplinary action). <i>Includes electronic media that communicates the above.</i>
Disposition	The files are to be cut off when employee transfers to another agency or terminates employment then, return to employee. If deceased, destroy.

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RDA No.	Records Title and Description
S470-1	<p>Office General Personnel Files Approved: November 3, 1997</p> <p>Documents that relate to the day-to-day administration of personnel in individual offices. Included are notices of holidays and hours worked; notices about participation in athletic events and employee associations; notifications and lists of employees to receive State medical services, including X-rays and immunizations; notices and lists of individuals to receive training and comparable or related papers. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Destroy after one (1) year
S470-2	<p>Office Personnel Locator Files Approved: November 3, 1997</p> <p>Cards or sheets showing name, address and telephone number and similar data for each office employee. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Destroy on transfer of separation of individual.
S1280	<p>Personnel Files (Agency Personnel Offices - Serviced by the Department of Personnel) Approved: November 3, 1997</p> <p>These files consist of official personnel folders for each employee of the State of Tennessee maintained by agency personnel offices and forwarded to the Department of Personnel, Central Records, upon separation from State service. As a minimum, these folders will consist of items listed in enclosure to memorandum from the Department of Personnel, January 24, 1983 to Commissioners and Agency Heads.</p> <p>Listed below are those items that must be kept in the Personnel file:</p> <ol style="list-style-type: none">1. All PNF 201's processed for the employee.2. All applications resulting in appointments and promotions.3. Letters of commendation.

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S1280	<p>Personnel Files (Agency Personnel Offices - Serviced by the Department of Personnel) (continued from previous page)</p> <ol style="list-style-type: none"> 4. Current charity, bond drive cards. 5. Proof of education. 6. Wage and tax forms (if maintained in Personnel) 7. Employee withholding card. 8. Disciplinary actions. 9. Performance review form. 10. Job description. 11. Insurance applications. 12. Retirement application forms. 13. Change of beneficiary. 14. Garnishments. 15. Board of Claims - Supplements. 16. Any old cardex file cards. 17. C-7 forms. <p><i>Includes electronic media that communicates the above.</i></p>
Disposition	<p>Agencies: Upon transfer within State government, forward to the gaining agency personnel officer. Upon separation, forward to the Dept. of Personnel, Central Files.</p> <p>Department of Personnel: Hold inactive files for three (3) years, then produce two (2) silver negatives. Destroy paper records by state approved method after verification of microfilm. Transfer one (1) silver negative to the State Records Center. Retain silver duplicate in the Department of Personnel, Central Files. Hold microfilm for seventy-five (75) years then destroy by state approved method.</p>

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S627	<p>Pledge Cards for Charity Drives Approved: November 3, 1997</p> <p>Records consist of payroll deductions authorized for one (1) year for the state employee's charity fund campaign. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Destroy after one (1) year and audit.
S1603	<p>State Employee Suggestion Award Program Approved: November 3, 1997</p> <p>Files consist of employee suggestion award program forms (PR-0185) and employee suggestion evaluation forms (PR-0190). Used to allow state employees to participate in the program by submitting ideas for ways to improve state government. Evaluation forms are used to determine if state funds will be saved by the suggestion and if so, how much of a savings there will be. <i>Includes electronic media that communicates the above.</i></p>
Disposition	Upon completion of evaluation, transfer to inactive files and hold one (1) year after current year. Microfilm after the one (1) year period has expired. Upon verification, destroy original documents. Transfer silver negative to the State Records Center for thirty (30) year retention. Duplicate will be used as working copy. All other agency copies may be destroyed upon completion of evaluation.
S470-5	<p>Supervisor/Agency Employee Information Files Approved: November 3, 1997</p> <p>Duplicated documents pertaining to the administration of individual employees or which are not appropriate for inclusion in the official Personnel File, the Job Description File or similar official personnel records. Included are:</p> <ul style="list-style-type: none">a. Copies of performance appraisals.b. Approval for off-duty employment.

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S470-5	<p>Supervisor/Agency Employee Information Files (continued from previous page)</p> <p>c. Papers relating to individual injuries.</p> <p>d. Letters of commendation and appreciation.</p> <p>e. Documents reflecting assigned responsibilities of individuals.</p> <p>f. Records showing training received by individuals.</p> <p>g. Copy of PNF 201 forms.</p> <p><i>Includes electronic media that communicates the above.</i></p>
Disposition	<p>Review at end of each calendar year and destroy documents which have been superseded or are no longer applicable. For separated employees, place in an in-active file and destroy three (3) years after termination. For employees transferred within the State, forward to gaining agency personnel officer.</p>
S470-6	<p>Travel Authorization Files Approved: November 3, 1997</p> <p>Copies of request and authorizations for in-state and out-of-state travel and related correspondence. Includes electronic media that communicates the above.</p>
Disposition	<p>Destroy after one (1) year.</p>
S630	<p>U. S. Saving Bond Payroll Savings Authorization Approved: November 3, 1997</p> <p>Forms used to authorize payroll deductions showing beneficiary and owner's name, address, and social security number. <i>Includes electronic media that communicates the above.</i></p>
Disposition	<p>Retain in active file until superseded by a new form, at which time original authorization will either be placed in Employee Personal Folder or attached to the new authorization. Upon transfer, forward to gaining agency with other personnel records. Upon termination of employment, place in agency Employee Personnel Folder.</p>